

# Abundance-weighted phylogenetic diversity measures distinguish microbial community states and are robust to sampling depth

In microbial ecology studies, the most commonly used ways of investigating alpha (within-sample) diversity are either to apply count-only measures such as Simpson's index to Operational Taxonomic Unit (OTU) groupings, or to use classical phylogenetic diversity (PD), which is not abundance-weighted. Although alpha diversity measures that use abundance information in a phylogenetic framework do exist, but are not widely used within the microbial ecology community. The performance of abundance-weighted phylogenetic diversity measures compared to classical discrete measures has not been explored, and the behavior of these measures under rarefaction (sub-sampling) is not yet clear. In this paper we compare the ability of various alpha diversity measures to distinguish between different community states in the human microbiome for three different data sets. We also present and compare a novel one-parameter family of alpha diversity measures,  $BWPD_{\theta}$ , that interpolates between classical phylogenetic diversity (PD) and an abundance-weighted extension of PD. Additionally, we examine the sensitivity of these phylogenetic diversity measures to sampling, via computational experiments and by deriving a closed form solution for the expectation of phylogenetic quadratic entropy under re-sampling. In all three of the datasets considered, an abundance-weighted measure is the best differentiator between community states. OTU-based measures, on the other hand, are less effective in distinguishing community types. In addition, abundance-weighted phylogenetic diversity measures are less sensitive to differing sampling intensity than their unweighted counterparts. Based on these results we encourage the use of abundance-weighted phylogenetic diversity measures, especially for cases such as microbial ecology where species delimitation is difficult.

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## 1. INTRODUCTION

9 It is now well accepted that incorporating phylogenetic informa-  
10 tion into alpha (single-sample) and beta (between-sample) diversity  
11 measures can be useful in a variety of ecological contexts. Phylo-  
12 genetic equivalents of all of major alpha diversity measures have  
13 been developed. Starting with Faith's original definition of phyloge-  
14 netic diversity (Faith, 1992), which generalizes species count, there  
15 are now phylogenetic generalizations of the Simpson index to Rao's  
16 quadratic entropy (Rao, 1982; Warwick and Clarke, 1995), the Shan-  
17 non index to phylogenetic entropy (Allen et al., 2009), and the Hill  
18 numbers to  ${}^qD(T)$  (Chao et al., 2010). Phylogenetic diversity itself  
19 has been extended to incorporate taxon counts (Barker, 2002) and  
20 proportional abundance (Vellend et al., 2011). There have also been  
21 abundance-weighted measures that explicitly measure phylogenetic  
22 community structure (Fine and Kembel, 2011), or an "effective num-  
23 ber of species" (Chao et al., 2010). Many diversity measures can be  
24 tidily expressed in the framework of Leinster and Cobbold (2012),  
25 although the expression of phylogenetic diversity measures for non-  
26 ultrametric trees is complex.

27 In this paper we use three example human microbiome datasets  
28 to demonstrate the utility of abundance-weighted phylogenetic di-  
29 versity measures. We also introduce a one-parameter family inter-  
30 polating between classical PD and an abundance-weighted gener-  
31 alization. We call the parameter  $\theta$  and denote the one-parameter  
32 family  $BWPD_\theta$ ;  $BWPD_0$  is classical PD, whereas  $BWPD_1$  is balance-  
33 weighted phylogenetic diversity, effectively  $PD_{aw}$  of Vellend et al.  
34 (2011). Intermediate values of  $\theta$  allow a partially-abundance-weighted  
35 compromise. Such a compromise has recently been shown to be  
36 useful for measuring beta diversity, with the introduction of a one-  
37 parameter family of "generalized UniFrac" measures (Chen et al.,  
38 2012). We use the name Balance Weighted Phylogenetic Diversity as  
39 described below because there are a variety of abundance weighted  
40 phylogenetic diversity measures. We compare the behavior of PD  
41 measures, including  $BWPD_\theta$ , under various levels of sampling us-  
42 ing theory and example data sets.

## 2. MATERIALS AND METHODS

44 2.1. **Datasets.** We apply the methods described below to three pre-  
45 viously described 16S rRNA surveys of the human microbiome. The

46 first two datasets are composed of samples from “normal” and dys-  
47 biotic microbial communities, where previous studies have associ-  
48 ated changes in diversity with changes in health. The third dataset  
49 investigates the changes of the skin microbiome through time.

50 2.1.1. *Bacterial vaginosis*. First, we reanalyze a pyrosequencing dataset  
51 describing bacterial communities from women being monitored in a  
52 sexually transmitted disease clinic for bacterial vaginosis (BV). BV  
53 has previously been shown to be associated with increased commu-  
54 nity diversity (Fredricks et al., 2005). For this study, swabs were  
55 taken from 242 women from the Public Health, Seattle and King  
56 County Sexually Transmitted Diseases Clinic between September 2006  
57 and June 2010 of which 220 samples resulted in enough material to  
58 analyze (Srinivasan et al., 2012).

59 Selection of reference sequences and sequence preprocessing were  
60 performed using the methods described in (Srinivasan et al., 2012).  
61 452,358 reads passed quality filtering, with a median of 1,779 reads  
62 per sample (range: 523–2,366).

63 2.1.2. *Oral periodontitis*. We also utilize sequence data from a study  
64 of subgingival communities in 29 subjects with periodontitis, along  
65 with an equal number of healthy controls (Griffen et al., 2011a). The  
66 publication analyzing this dataset showed increased community di-  
67 versity in samples from diseased patients compared to healthy con-  
68 trols. Raw sequences were filtered, retaining only those reads with:  
69 a mean quality score of at least 25, no ambiguous bases, at least 150  
70 base pairs in length, and an exact match to the sequencing primer  
71 and barcode. A total of 759,423 reads passed quality filtering, with a  
72 median of 8,320 reads per sample (range: 4,096–14,319).

73 As the phylogenetic placement method used below to calculate  
74 our measures requires a reference tree and alignment, we created a  
75 tree with FastTree 2.1.4 (Price et al., 2010) using the alignment and  
76 accompanying taxonomic annotation from the curated CORE data-  
77 base of oral microbiota (Griffen et al., 2011b).

78 2.1.3. *Skin microbiome through time*. Our third data set is a study of  
79 skin microbial diversity through adolescence Oh et al. (2012). Aligned  
80 sequences were obtained directly from the authors, although sequence  
81 data is available under the accession numbers [GQ000001] to [GQ116391]  
82 and can be accessed through BioProject ID 46333.

83 **2.2. Balance-weighted phylogenetic diversity.** In this section we in-  
84 troduce  $BWPD_{\theta}$ , our one-parameter family interpolating between  
85 classical PD and fully balance-weighted phylogenetic diversity. We

86 will primarily consider so-called *unrooted* (Pardi and Goldman, 2007)  
 87 phylogenetic diversity, which does not necessarily include the root.  
 88 The case of *rooted* phylogenetic diversity can be calculated in a sim-  
 89 ilar though simpler way as described below. Although we will pri-  
 90 marily be working in an unrooted sense, it will be useful to use ter-  
 91 minology that corresponds to the rooted case. For this reason, if the  
 92 tree is not already rooted, assume an arbitrary root has been chosen;  
 93 let the *proximal* side of a given edge be the side that contains the root  
 94 and *distal* be the other.

95 We will describe  $\text{BWPD}_\theta$  in terms of a phylogenetic tree  $T$  with  
 96 leaves  $L$ , and a *contingency table* describing the number of observa-  
 97 tions of the organisms at the leaves in various samples. The con-  
 98 tingency table has rows labeled with the leaves of  $T$ , and columns  
 99 labeled by samples. In microbial ecology this is frequently known as  
 100 an *OTU table*. The entry corresponding to a given leaf and a given  
 101 sample is the number of times that leaf was observed in that sample.

102 The classical (unrooted) phylogenetic diversity of a given sample  
 103 in this context is the total branch length of the tree subtended by the  
 104 leaves in that sample.

105 The path to generalizing PD is to note that this can be expressed  
 106 as a sum of branch lengths multiplied by a step function. Let  $f(x)$   
 107 be the function that is one for  $x > 0$  and zero otherwise. Let  $g(x) =$   
 108  $\min(f(x), f(1-x))$  and  $D_s(i)$  be the fraction of reads in sample  $s$  that  
 109 are in leaves on the distal side of edge  $i$ . Phylogenetic diversity can  
 110 be then expressed as

$$(1) \quad \text{PD}_u(s) = \sum_i \ell_i g(D_s(i))$$

111 That is, the sum of edge lengths in  $T$  which have reads from  $s$  on  
 112 both the distal and proximal side.

113

114 Note that the step function  $g$  is the limit of a one-parameter family  
 115 of functions (Fig. 1). Indeed, defining

$$(2) \quad g_\theta(x) = \min(x^\theta, (1-x)^\theta),$$

116  $g$  is the pointwise limit on the closed unit interval of the  $g_\theta$  as  $\theta$  goes  
 117 to zero. Thus our one-parameter generalization is

$$(3) \quad \text{BWPD}_\theta(s) = \sum_i \ell_i g_\theta(D_s(i)).$$

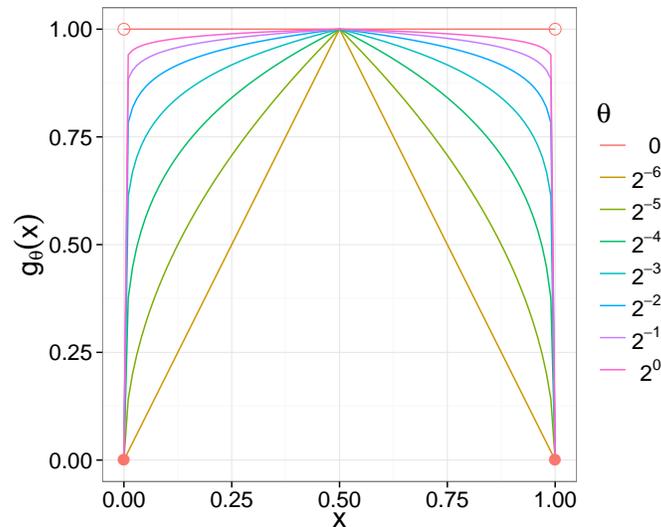


FIGURE 1.  $g_\theta$  curves for various  $\theta$  parameters. As  $\theta$  goes to zero, the  $g_\theta$  converge pointwise to  $g$ , which is 1 on the interior of the unit interval and 0 on the boundaries.

118 Note that when  $\theta = 0$  this is PD and when  $\theta = 1$  this is an abundance-  
 119 weighted version of PD equivalent to executing the  $\Delta$  nPD recipe of  
 120 Barker (2002) up to a multiplicative factor.

121 The rooted equivalent of (3) is

$$(4) \quad \text{RBWPD}_\theta(s) = \sum_i \ell_i (D_s(i))^\theta,$$

122 which interpolates between rooted PD and an abundance-weighted  
 123 version. Vellend et al. (2011) describe a similar measure,  $\text{PD}_{\text{aw}}$ , which  
 124 is equal to  $\text{RBWPD}_1$  multiplied by the total number of branches in  
 125  $T$ .

126 We call  $\text{BWPD}_1$  balance-weighted phylogenetic diversity because  
 127 it weights edges according to the balance of read fractions on either  
 128 side of an edge— edges with even amount of mass on either side  
 129 are up-weighted, while edges with an uneven balance of mass are  
 130 down-weighted. Indeed, if  $|x - (1 - x)|$  is taken to represent the im-  
 131 balance of read fraction on either side of an edge, then  $1 - |x - (1 - x)|$   
 132 can be taken to be a measure of balance; note that on the unit inter-  
 133 val,  $\min(x, 1 - x) = 1 - |x - (1 - x)|$ . Because a small  $x$  or an  $x$  close  
 134 to 1 gives a small coefficient in the summation, small collections of

135 reads or small perturbations of the read distribution will not change  
136 the value of  $BWPD_1$  appreciably.

137 **2.3. Calculation of PD measures in example applications.** Reads  
138 from the vaginal and oral studies were placed on a tree created from  
139 a curated set of taxonomically annotated reference sequences. As  
140 phylogenetic entropy and  ${}^qD(T)$  operate on a rooted phylogeny, ref-  
141 erence trees were assigned a root taxonomically (Matsen and Gal-  
142 lagher, 2012). `pplacer` was run in posterior probability mode (using  
143 the `-p` and `--informative-prior` flags), which defines an infor-  
144 mative prior for pendant branch lengths with a mean derived from  
145 the average distances from the edge in question to the leaves of the  
146 tree. The resulting set of placements were classified at the family  
147 rank using a hybrid classifier implemented in the `guppy` tool from  
148 the `pplacer` suite. The hybrid classifier assigns taxonomic annota-  
149 tions to sequences using the combination of a naïve Bayes classifier  
150 (Wang et al., 2007) with a phylogenetic classifier (Matsen et al., un-  
151 published results). Any reads that could not be confidently classified  
152 to the family rank were not used in measures based on classification.

153 Full-length 16S sequences were available for the skin data, and so  
154 a more traditional tree-building approach was used. Representative  
155 OTUs were chosen for each site by clustering at 97% identity using  
156 USEARCH (Edgar, 2010), with trees built on OTU centroids using  
157 FastTree (Price et al., 2010). To conform with methods used in that  
158 paper, the naïve Bayes classifier (Wang et al., 2007) was used to infer  
159 genus-level classifications to taxonomically root the tree; in our case  
160 we used the RDP classifier v2.5. The contingency (OTU) tables gener-  
161 ated by clustering were made available to our tools via the BIOM  
162 (McDonald et al., 2012) format.

163  $PD_u$  (unrooted PD), phylogenetic quadratic entropy (Rao, 1982),  
164 phylogenetic entropy (Allen et al., 2009), and  ${}^qD(T)$  (Chao et al.,  
165 2010) were implemented for phylogenetic placements in the freely-  
166 available `pplacer` suite of tools (Matsen et al., 2010) (<http://matsen.fhcrc.org/pplacer>) in the subcommand `guppy fpd`.  $PD_u$  on rar-  
168 efied phylogenetic placements was calculated using `guppy rarefy`.

169 Discrete measures of alpha diversity and richness were calculated  
170 on contingency tables obtained from clustering and taxonomic clas-  
171 sification. Sequences were clustered into Operational Taxonomic Units  
172 (OTUs) at a 97% identity threshold using USEARCH 5.1 (Edgar, 2010).  
173 Similar results were observed when clustering at 95% identity (re-  
174 sults not shown). OTU counts and family-level taxon counts were  
175 then rarefied to the read count of the specimen in the dataset with

176 the fewest sequences in R 2.15.1 (R Development Core Team, 2012)  
177 using the `vegan` package (Oksanen et al., 2012). We obtained values  
178 for the Simpson (1949) and Shannon (1948) diversity indices, as well  
179 as the Chao1 (Chao, 1984) and ACE (Chao and Lee, 1992) measures  
180 of species richness using `vegan` functions `diversity` and `estimateR`.

181 **2.4. Comparative analysis of alpha diversity measures.** To inves-  
182 tigate the relation between various measures of alpha diversity, we  
183 calculated Pearson's  $r$  between all pairs of measures using the func-  
184 tion `rcorr` from the R package `Hmisc` (Harrell Jr., 2012). We then  
185 performed hierarchical clustering with the R function `hclust`, using  
186  $d = 1 - r$  as the distance between two measures.

187 Association of each measure with clinical criteria for the first two  
188 data sets was evaluated by examining the accuracy of a logistic re-  
189 gression using the measure as the sole predictor of whether the sam-  
190 ple came from a "normal" or dysbiotic subject. In the vaginal dataset,  
191 we assessed each measure's ability to predict whether a sample was  
192 from a subject positive for BV by Amsel's criteria, a clinical diagnos-  
193 tic method (Amsel et al., 1983). In the oral dataset, we assessed each  
194 measure's ability to predict whether a sample was from a healthy  
195 control, or a subject with periodontitis. Accuracy in predicting sam-  
196 ple community state was assessed by leave-one-out cross-validation  
197 using the R package `boot` (Davison and Hinkley, 1997; Canty and  
198 Ripley, 2012).

199 For the vaginal dataset, we also calculated  $R^2$  values using each  
200 measure individually as a predictor for sample Nugent score in a  
201 linear regression. The Nugent score provides a diagnostic score for  
202 BV which ranges from 0 (BV-negative) to 10 (BV-positive) based on  
203 presence and absence of bacterial morphotypes as viewed under a  
204 microscope (Nugent et al., 1991).

205 We calculated p-values to compare within- and between-stratification  
206 variability using R's built-in `t.test` function for the vaginal data, which  
207 had a binary stratification, and `aoV` function for the oral and vaginal  
208 data sets. The vaginal dataset data was stratified by Amsel's crite-  
209 rion, the oral dataset by condition and sampling site, and the skin  
210 microbiome dataset by Tanner scale of physical development (Oh  
211 et al., 2012).

212 Plots were prepared with R base graphics and `ggplot2` (Wickham,  
213 2009).

214 **2.5. Evaluation of performance under rarefaction.** Phylogenetic place-  
215 ments were rarefied using the `rarefy` subcommand of the `guppy` tool

216 in the `pplacer` suite. Phylogenetic alpha diversity measures were cal-  
217 culated on the resulting rarefied placements as described above.

### 218 3. RESULTS

#### 219 3.1. Application to the human microbiome.

220 3.1.1. *Vaginal microbiome.* Like Srinivasan et al. (2012) and many oth-  
221 ers in the field, we observe greater diversity in BV positive speci-  
222 mens using a variety of diversity and richness measures (Fig. S1). In  
223 particular, this is true for  $BWPD_{\theta}$  for a variety of values of  $\theta$  (Fig. S2).

224 In the vaginal data, phylogenetic measures of alpha diversity have  
225 better cross-validation accuracy for the Amsel classification and bet-  
226 ter correlation with the Nugent score than discrete OTU-based mea-  
227 sures (Table 1). All measures were somewhat accurate in identifying  
228 community state, with even the worst performers classifying at least  
229 70% of samples correctly.  $BWPD_{0.25}$ , rarefied  $PD_u$ ,  $PD_{u,r}$ , and phylo-  
230 genetic entropy perform equally well predicting BV status. Corre-  
231 lation with Nugent score varies more widely, from 0.19 using Simp-  
232 son (OTU) to 0.74 using  $BWPD_{0.25}$  or Simpson applied to family-  
233 level classifications. OTU-based measures rank in the bottom half  
234 of the measures tested, and below all phylogenetic measures. Phy-  
235 logenetic diversity, which can be viewed as a measure of richness,  
236 outperforms discrete measures of richness, and most measures in-  
237 corporating abundance.

238 In the hierarchical clustering of alpha measures on the vaginal  
239 data set, phylogenetic methods are separated from OTU-based meth-  
240 ods (Fig. 2).  $BWPD_{\theta}$  is similar to different extant phylogenetic alpha  
241 diversity measures for different  $\theta$ . The Simpson and Shannon diver-  
242 sity measures cluster together, as do the ACE and Chao1 richness  
243 measures.

244 Fig. 3 shows values of  $BWPD_{\theta}$  calculated before ( $x$ -axis) and after  
245 ( $y$ -axis) a single rarefaction to 523 sequences per sample. Samples  
246 for which the  $BWPD_{\theta}$  value changes little lie close to the blue line,  
247 which shows the case of no difference between original and rarefied  
248 samples. Increasing  $\theta$ , which corresponds to increased use of abun-  
249 dance information, reduces the change in  $BWPD_{\theta}$  induced by rar-  
250 efaction. Phylogenetic quadratic entropy and phylogenetic entropy  
251 both show behavior similar to  $BWPD_1$ , with rarefaction introducing  
252 little effect.

253 It might be possible to formalize a statement to this effect by com-  
254 puting the expectation of these alpha measures under rarefaction.  
255 However, computing the expectation for  $BWPD_{\theta}$  under rarefaction

Measure	Nugent $R^2$	Amsel Accuracy	Amsel p-value
BWPD <sub>0.25</sub>	0.738	0.828	1.49E-35
Simpson (Family)	0.731	0.822	2.07E-33
Rarefied PD <sub>u</sub>	0.731	0.828	6.81E-35
Shannon (Family)	0.721	0.821	8.85E-33
BWPD <sub>0.5</sub>	0.703	0.823	2.16E-33
PD <sub>u</sub>	0.696	0.832	1.26E-32
Phylo. entropy	0.679	0.832	1.56E-31
<sup>0.25</sup> D(T)	0.677	0.818	8.74E-30
<sup>0.5</sup> D(T)	0.662	0.814	5.35E-29
Phylo. quad. entropy	0.647	0.811	7.70E-30
BWPD <sub>1</sub>	0.610	0.796	5.66E-28
Chao1 (Family)	0.610	0.823	9.79E-24
Chao1 (OTU)	0.450	0.758	1.61E-19
ACE (OTU)	0.422	0.763	6.86E-20
Shannon (OTU)	0.380	0.754	6.73E-16
Simpson (OTU)	0.192	0.700	1.36E-07
ACE (Family)	0.088	0.666	1.51E-01

TABLE 1. Correlation and predictive performance of the various alpha diversity measures, ordered by decreasing  $R^2$  value. Nugent  $R^2$ :  $R^2$  value using the measure as a predictor, and the Nugent score as response in a linear model. Amsel accuracy: proportion of specimens with correct BV classification under a leave-one-out cross-validation. Amsel p-value: p-value from a two-sample  $t$ -test on values stratified by BV classification. "OTU" designates the measure applied to 97% clustering groups, and "Family" designates taxonomic classification at the family level. Measures described in main text.

256 does not appear to be straightforward: the methods of Dremín (1994)  
 257 might be applicable in this setting, however, even the integer mo-  
 258 ments of the hypergeometric distribution are complicated and the  
 259 non-integer moments are bound to be very complex. We have, how-  
 260 ever, shown in the Appendix that the expectation of phylogenetic  
 261 quadratic entropy under rarefaction to  $k$  sequences assigned to the  
 262 tips of a phylogenetic tree is

$$\mathbb{E}[\text{PQE}_k] = \frac{k-1}{kn(n-1)} \sum_i \ell_i d_i (n - d_i)$$

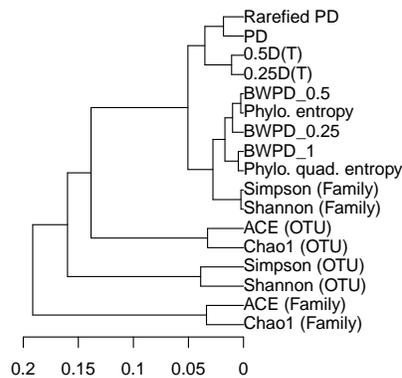


FIGURE 2. Dendrogram relating alpha diversity measures applied to the vaginal dataset.

263 where  $d_i$  is the number of sequences falling below edge  $i$  and  $\ell_i$  is  
 264 the length of edge  $i$ . This is almost identical to the unrarefied value  
 265 of phylogenetic quadratic entropy, i.e.

$$\text{PQE} = \frac{1}{n^2} \sum_i \ell_i d_i (n - d_i).$$

266 Thus it is not surprising to see that the expectation of PQE under  
 267 rarefaction is very close to the original value (Fig. S3) for reasonably  
 268 large  $k$  and  $n$ .

269 3.1.2. *Oral microbiome.* As previously observed by Griffen et al. (2011a),  
 270 we find generally higher diversity in samples from diseased patients  
 271 (Fig. 4). We evaluated the ability of each alpha diversity measure to  
 272 predict whether a sample came from an individual with periodonti-  
 273 tis, regardless of sample collection site, using the above methods.

274 In the oral dataset, phylogenetic alpha diversity measures incor-  
 275 porating abundance gave the best predictions of community state  
 276 (Table S1, Fig. 4). In contrast, classical phylogenetic diversity was  
 277 amongst the worst predictors; rarefaction did help, but rarefied PD  
 278 still performed worse than phylogenetic measures taking abundance  
 279 into account.

280 OTU-based methods and phylogenetic methods are not as sepa-  
 281 rated in a hierarchical clustering as for the vaginal dataset (Fig. S6).  
 282 However, many of the same pairings are present in both clusterings:

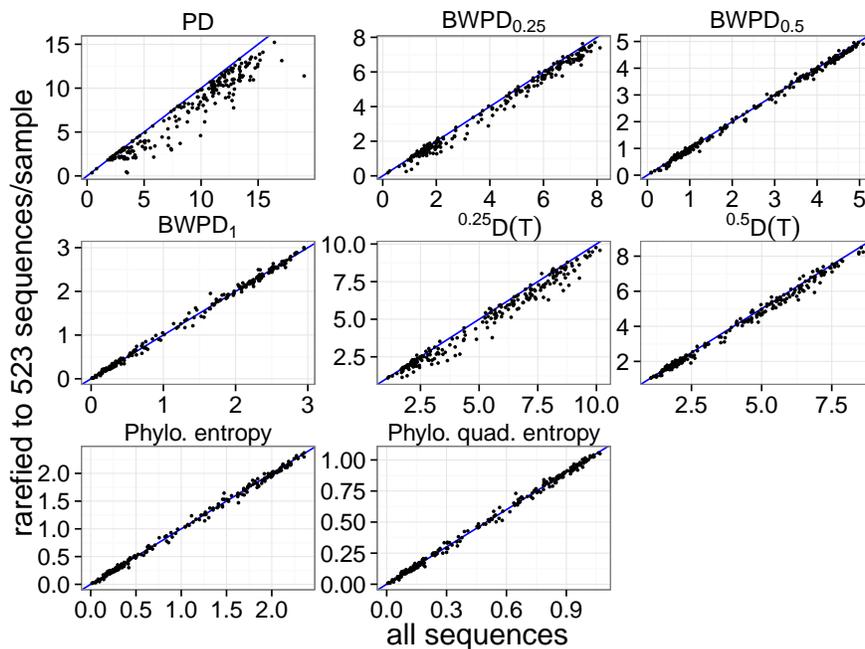


FIGURE 3. Comparison of rarefied and unrarefied values of various phylogenetic alpha diversity measures as applied to the vaginal dataset. The value of six alpha measures for each specimen using all available sequences is plotted on the  $x$ -axis. The value of the alpha measures for each specimen after a single rarefaction to 523 sequences (the smallest sequence count across specimens) is plotted on the  $y$ -axis. The  $y = x$  line is shown in blue.

283 BWPD<sub>0.5</sub> with PE, BWPD<sub>1</sub> with QE, Simpson with Shannon, ACE  
 284 with Chao1, and PD<sub>u</sub> with rarefied PD. Interestingly, PD<sub>u</sub>, rarefied  
 285 PD<sub>u</sub>, and BWPD<sub>0.25</sub> all cluster with the discrete richness measures  
 286 ACE and Chao1.

287 Like the vaginal dataset, incorporating abundance information de-  
 288 creases the effect of rarefaction on BWPD<sub>θ</sub> values (Figs. S4, S5).

289

290 3.1.3. *Skin microbiome.* To further assess resolution and robustness  
 291 of abundance weighted phylogenetic diversity measures, we con-  
 292 sidered skin microbiome data from a study by Oh et al. (2012). This

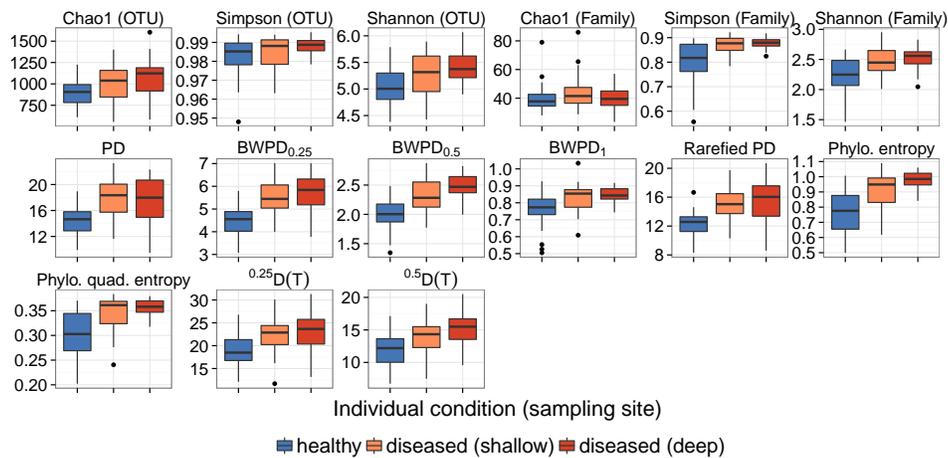


FIGURE 4. Comparison of diversity between samples from healthy controls, healthy sites of diseased patients, and diseased sites of diseased patients in the oral dataset, using different measures of alpha diversity. Top row: cluster-based methods. Bottom row: phylogenetic methods.

293 study tracked the changes of the skin microbiome through devel-  
 294 opmental stages. Because there are five Tanner stages, and they do  
 295 not have a monotonic relationship with skin microbiome diversity  
 296 (Oh et al., 2012), we focused on ANOVA p-values to see if the diver-  
 297 sity measurements had small within-stage heterogeneity compared  
 298 to between-stage heterogeneity. To compare the ANOVA p-values  
 299 associated with the diversity measurements across the various data  
 300 sets, we ranked the p-value of the diversity measures from lowest  
 301 to highest for each data set individually. We averaged these ranks  
 302 to gain an overall measure of performance. The results again show  
 303 phylogenetic measures generally performing better than OTU-based  
 304 measures (Tab. 5). In this case, a light weighting or no weighting  
 305 of phylogenetic diversity by abundance performed better than full  
 306 abundance-weighting. Note that we are not presenting these un-  
 307 corrected p-values as evidence that there is an interesting relation-  
 308 ship between skin microbiome and developmental stage, but rather  
 309 are using p-values as a way of measuring within-stage heterogeneity  
 310 compared to between-stage heterogeneity for the various measures.  
 311

	Ac	N	Pc	Vf	mean rank
BWPD <sub>0.25</sub>	2.90e-02	1.29e-03	4.94e-03	1.71e-04	3.50
PD <sub>u</sub>	2.72e-02	5.48e-03	8.62e-03	5.06e-04	5.25
<sup>0.25</sup> D(T)	2.95e-02	1.24e-03	1.53e-02	3.86e-04	5.50
<sup>0.5</sup> D(T)	3.03e-02	4.95e-04	2.92e-02	3.20e-04	5.75
BWPD <sub>0.5</sub>	6.53e-02	7.34e-05	1.43e-02	1.42e-03	6.75
<sup>0</sup> D(T)	3.08e-02	2.37e-03	9.77e-03	8.88e-04	7.00
Chao1 (OTU)	2.97e-02	2.68e-03	9.14e-03	9.97e-03	7.00
Shannon (OTU)	7.09e-02	8.48e-02	1.23e-01	2.70e-05	8.00
Phylo. entropy	1.17e-01	2.31e-05	8.37e-02	1.03e-02	8.25
Phylo. quad. entropy	2.52e-01	6.31e-06	4.77e-01	1.55e-01	9.00
Simpson (OTU)	1.17e-01	3.68e-01	8.75e-01	1.15e-04	9.50
BWPD <sub>1</sub>	3.11e-01	2.99e-05	6.45e-01	5.33e-01	10.25

TABLE 2. ANOVA p-values for various phylogenetic diversity statistics applied to the skin microbiome data of Oh et al. (2012). Rows are ordered by increasing mean rank across sites. The same site abbreviations are used as in their paper: Af, antecubital fossa; N, nares; Pf, popliteal fossa; Vf, volar forearm.

312 3.1.4. *Applications summary.* In all three of the data sets investigated,  
313 abundance-weighted phylogenetic diversity measures showed good  
314 performance to distinguish between community states: between “nor-  
315 mal” and dysbiotic samples in the oral and vaginal microbiomes,  
316 and between developmental stages in the skin microbiome. Notably,  
317 the best distinguishing measure in each dataset was both phyloge-  
318 netic and abundance-weighted. BWPD <sub>$\theta$</sub> , our new family of abundance-  
319 weighted phylogenetic diversity measures, was highly correlated with  
320 clinical status although the value of  $\theta$  most associated with commu-  
321 nity state varied. On the vaginal and oral data sets intermediate val-  
322 ues of  $\theta$  for BWPD <sub>$\theta$</sub>  provide the best correlation with clinical sta-  
323 tus. These results correspond to analogous results for beta diversity,  
324 where an intermediate exponent for “generalized UniFrac” was the  
325 most powerful (Chen et al., 2012).

326

## 4. DISCUSSION

327 Phylogenetic alpha diversity measures were more closely related  
328 to community state than were discrete measures based on OTU clus-  
329 tering for the data sets investigated here. This result is especially in-  
330 teresting given that the Simpson index, the Shannon index, or count-  
331 ing applied to OTU tables are very common ways of characterizing  
332 microbial diversity (Fierer et al., 2007; Grice et al., 2009; Hill et al.,  
333 2003; Dethlefsen and Relman, 2011). As also noted by Aagaard et al.  
334 (2012), we find that measurements of diversity using taxonomic clas-  
335 sification can be useful in describing communities, and in fact per-  
336 form much better than the same measurements of diversity applied  
337 to OTU counts; however, this approach requires a taxonomically  
338 well characterized environment. Our results can be viewed as an  
339 experimental confirmation of the notion that incorporating similar-  
340 ity between species is important to get sensible measures of diver-  
341 sity, which has been advocated by many, including most recently by  
342 Leinster and Cobbold (2012).

343 We find that classical phylogenetic diversity is sensitive to sam-  
344 pling depth, underestimating the true value in small samples. Biases  
345 have also been described for diversity measures using OTU tables  
346 (Gihring et al., 2012). In contrast, we observe that some abundance-  
347 weighted phylogenetic measures are relatively robust to varying lev-  
348 els of sampling.

349 As of the publication of this paper, no abundance-weighted phylo-  
350 genetic alpha diversity measures are implemented in either mothur  
351 (Schloss et al., 2009) or QIIME (Caporaso et al., 2010), two of the most  
352 popular tools for analysis of microbial ecology data. Although the  
353 fact that abundance-weighted phylogenetic diversity measures per-  
354 formed best for the three data sets investigated here does not imply  
355 that they are best in general, we suggest that abundance-weighted  
356 phylogenetic measures be given greater consideration for microbial  
357 ecology studies. For this to happen, implementations in commonly  
358 used microbial ecology software packages will be needed, in addi-  
359 tion to our implementation and that of the *picante* R package (Kem-  
360 bel et al., 2010).

361

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